

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT

Applicants: Jan Stallaert et al.

Filing Date: April 27, 1998

Group:

Atty. Docket No.: 18608-P001C1

## Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
<u>SC</u> AAA	4,412,287	10/25/83	Walter D. Braddock III	364	408	
ABA	4,674,044	06/16/87	Kalmus et al.	364	408	
ACA	5,077,665	12/31/91	Silverman et al.	364	408	
ADA	5,101,353	03/31/92	Lupien et al.	364	408	
<u>SC</u> AEA	5,136,501	08/04/92	Silverman et al.	364	408	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)Examiner  
Initial

SC AFA Adams et al., "Commodity Bundling and the Burden of Monopoly," *The Quarterly Journal of Economics* Vol. XC, 475-498 (1976).

SC AGA Brewer et al., "A Binary Conflict Ascending Price (BICAP) Mechanism for the Decentralized Allocation of the Right to Use Railroad Tracks," Social Science Working Paper 887, California Institute of Technology, Division of the Humanities and Social Sciences, Pasadena, California (February 1995).

SC AHA Goodwin, Richard M., "Iteration, Automatic Computers, and Economic Dynamics," *Metroeconomica* Vol. III, pp. 1-7, (April 1951).

ALA Levin, Jonathan, "An Optimal Auction for Complements," *Games and Economic Behavior* Vol. 18, 176-192 (1997).

AJA McAfee et al., "Multiproduct Monopoly, Commodity Bundling, and Correlation of Values," *The Quarterly Journal of Economics* 371-383 (May 1989).

AKA Gjerstad et al., "Price Formation in Double Auctions," pp. 1-32 (April 7, 1997)

ALA McAfee et al., "Analyzing the Airwaves Auction," *Journal of Economic Perspectives* Vol. 10, No. 1, 159-175 (Winter 1996).

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ANA Domowitz et al., "Auctions as algorithms," *Journal of Economic Dynamics and Control* Vol. 18, pp. 29-60 (1994).

AOA Radosevich, Lynda, "Wired," *Webmaster*, pp. 26-31 (February 1997).

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ARA Hill et al., "Equity Trading, Program Trading, Portfolio Insurance, Computer Trading and All That," *Financial Analysts Journal*, pp. 29-35 (July-August 1988).

SC ASA Rubinstein, Mark, "Market Basket Alternatives," *Financial Analysts Journal*, pp. 20-29 (September-October 1989).

*J. Colbert**4-29-06*

AC ATA McCabe et al., "Designing 'Smart' Computer-Assisted Markets: An Experimental Auction for Gas Networks," *Journal of Political Economy* Vol. 5, pp. 259-283 (1989).

AC AUA Rassenti et al., "A combinatorial auction mechanism for airport time slot allocation," *The Bell Journal of Economics*, Vol. 13, pp. 402-417 (1982).

AC AVA Domowitz, Ian, "The Mechanics of Automated Trade Execution Systems," *Journal of Financial Intermediation* Vol. 1, pp. 167-194 (1990).

AC AWA Rothkopf et al., "Computationally Manageable Combinatorial Auctions," pp. 1-26, Rutgers University (December 1995).

AC AXA Bikhchandani et al., "Competitive Equilibrium in an Exchange Economy with Indivisibilities," *Journal of Economic Theory* Vol. 74, pp. 385-413 (1997).

Examiner:

J. Collier

Date Considered:

4-29-06

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AAA	5,689,652	11/18/97	Lupien et al.	395	237	
ABC	5,873,071	02/16/99	Ferstenberg et al.	705	37	
ACA						
ADA						
AEA						
AFA						
AGA						
AHA						
AIA						

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
ANA						
AOA						
APA						

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner  
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AQA Ming Fan et al., *Creating Electronic Markets*, Dr. Dobb's Journal, November 1998, pp. 52, 54-56.  
 ARA Ming Fan et al., *A Web-Based Financial Trading System*, Computer, Vol. 32, No. 4, April 1999, pp. 64-70.  
 ASA R. M. Miller, *On Distributing the Intelligence of Economic Processes*, Economics and Artificial Intelligence Proceedings of the IFAC/IFORS/IFIP/IASI/AFCEC Conference, Aix-En-Provence, France, 2-4 Sept., 1986, p. 161, XP002102608.

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PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0551-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to a collection of information unless it contains a valid OMB control number.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Complete if Known	
				Application Number	09/067,640
				Filing Date	April 27, 1998
				First Named Inventor	Jan Staalaert
				Group Art Unit	2761
				Examiner Name	Not yet assigned
Sheet	1	of	2	Attorney Docket Number	18508-P001C1

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.†	U.S. Patent Document Kind Code* Number (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
AC		5,689,652	Lupien, et al.	11-18-1997	

FOREIGN PATENT DOCUMENTS					
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Examiner Signature	<i>E. Collier</i>	Date Considered	4-29-06
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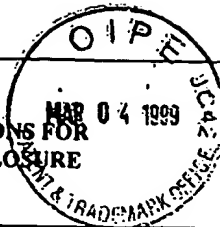
† Unique citation designation number. ‡ See attached Kinds of U.S. Patent Documents. § Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ¶ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \*\* Kind of document by the appropriate symbols as indicated on the document under WIPO Standard SL 16 if possible. \*\*\* Applicant is to place a check mark here if English language Translation is attached.

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In Place of FORM PTO-1449 (Modified)

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Group 2700

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368:18608-P001C1

In Place of FORM PTO-1449 (Modified)

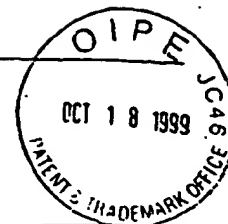
Serial No.: 09/067,640

Applicants: Jan Stallaert et al.

Filing Date: April 27, 1998

Group: Not assigned

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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(use as many sheets as necessary)

Sheet	1	of	2
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**Complete if Known**


<b>Application Number</b>	<b>09/067,640</b>
<b>Filing Date</b>	<b>April 27, 1998</b>
<b>First Named Inventor</b>	<b>Jan Stallaert</b>
<b>Group Art Unit</b>	<b>2761</b>
<b>Examiner Name</b>	<b>Not yet assigned</b>
<b>Attorney Docket Number</b>	<b>18608-P001C1</b>

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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